



YCT/GBA/L03092



INVESTOR IN PEOPLE

## PRIORITY DOCUMENT

SUBMITTED OR TRANSMITTED IN  
COMPLIANCE WITH RULE 17.1(a) OR (b)

The Patent Office  
Concept House  
Cardiff Road  
Newport  
South Wales

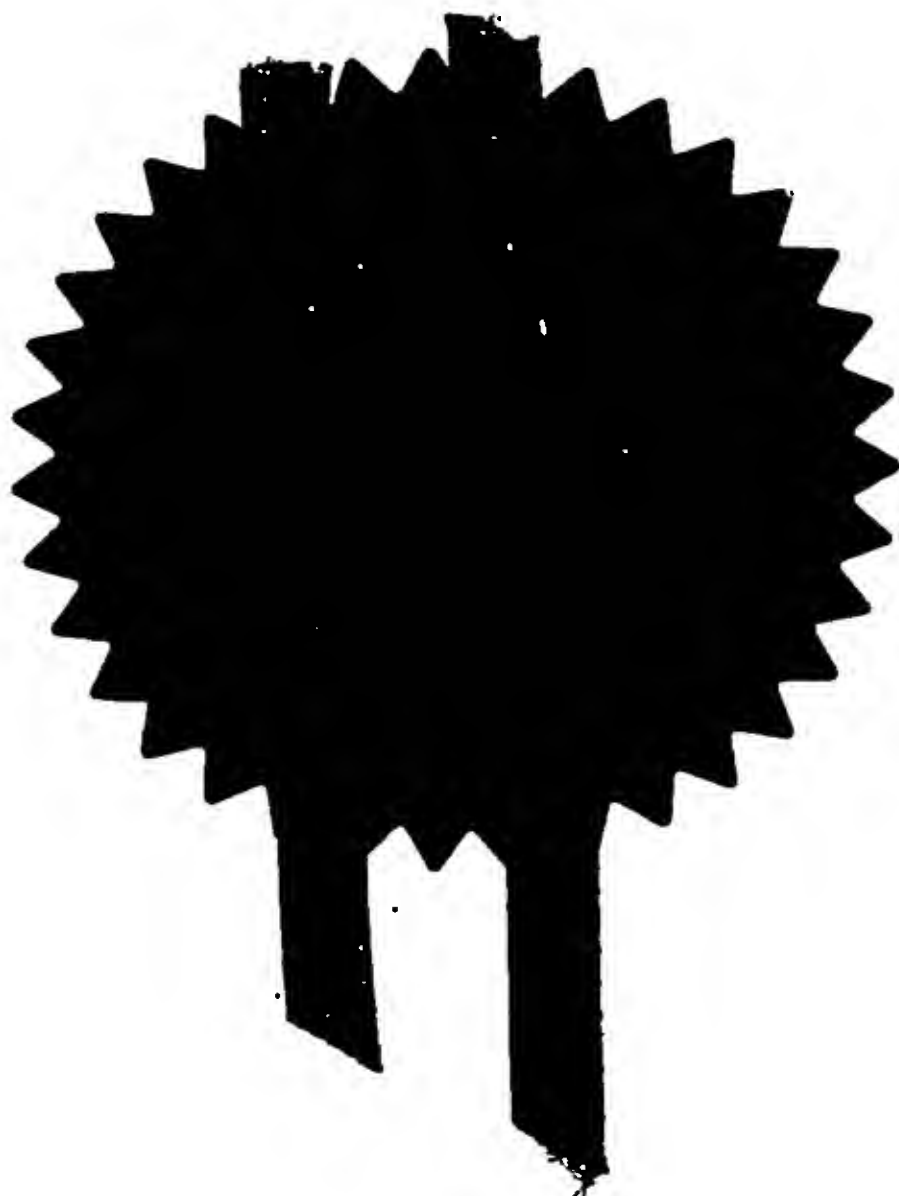
|             |     |
|-------------|-----|
| NP10 800    |     |
| RECEIVED    |     |
| 16 AUG 2004 |     |
| WIPO        | PCT |

I, the undersigned, being an officer duly authorised in accordance with Section 74(1) and (4) of the Deregulation & Contracting Out Act 1994, to sign and issue certificates on behalf of the Comptroller-General, hereby certify that annexed hereto is a true copy of the documents as originally filed in connection with the patent application identified therein.

In accordance with the Patents (Companies Re-registration) Rules 1982, if a company named in this certificate and any accompanying documents has re-registered under the Companies Act 1980 with the same name as that with which it was registered immediately before re-registration save for the substitution as, or inclusion as, the last part of the name of the words "public limited company" or their equivalents in Welsh, references to the name of the company in this certificate and any accompanying documents shall be treated as references to the name with which it is so re-registered.

In accordance with the rules, the words "public limited company" may be replaced by p.l.c., plc, P.L.C. or PLC.

Re-registration under the Companies Act does not constitute a new legal entity but merely subjects the company to certain additional company law rules.



Signed

*Stephen Handley*

Dated

6 August 2004

BEST AVAILABLE COPY



1/77  
ZENOV03 E855548-2/002690  
P01/7700 0:00-0327605.2

# Request for grant of a patent

(See the notes on the back of this form. You can also get an explanatory leaflet from the Patent Office to help you fill in this form)

The Patent Office

Cardiff Road  
Newport  
South Wales  
NP10 8QQ

1. Your reference

PJF01652GB

2. Patent application number

(The Patent Office will fill this part in)

27 NOV 2003

0327605.2

3. Full name, address and postcode of the or of each applicant (underline all surnames)

Azea Networks Ltd.  
Bates House  
151 Church Road  
Harold Wood  
Romford  
Essex, RM3 0SD

08529455002  
Patents ADP number (if you know it)

If the applicant is a corporate body, give the country/state of its incorporation

UK

4. Title of the invention

Method and Apparatus for Producing  
Chirped RZ-DPSK Modulated Optical Signals.

5. Name of your agent (if you have one)

Gill Jennings & Every

"Address for service" in the United Kingdom to which all correspondence should be sent (including the postcode)

Broadgate House  
7 Eldon Street  
London  
EC2M 7LH

Patents ADP number (if you know it)

745002

6. Priority: Complete this section if you are declaring priority from one or more earlier patent applications, filed in the last 12 months.

Country

Priority application number  
(if you know it)

Date of filing  
(day / month / year)

7. Divisionals, etc: Complete this section only if this application is a divisional application or resulted from an entitlement dispute (see note f)

Number of earlier UK application

Date of filing  
(day / month / year)

8. Is a Patents Form 7/77 (Statement of inventorship and of right to grant of a patent) required in support of this request?

YES

Answer YES if:

- a) any applicant named in part 3 is not an inventor, or
- b) there is an inventor who is not named as an applicant, or
- c) any named applicant is a corporate body.

Otherwise answer NO (See note d)

## Patents Form 1/77

9. Accompanying documents: A patent application must include a description of the invention.

Not counting duplicates, please enter the number of pages of each item accompanying this form:

Continuation sheets of this form 0

Description 6

Claim(s) 2

Abstract 0

Drawing(s) 2 x 2

10. If you are also filing any of the following, state how many against each item.

Priority documents -

Translations of priority documents -

Statement of inventorship and right to grant of a patent (Patents Form 7/77) 0

Request for a preliminary examination and search (Patents Form 9/77) 1

Request for a substantive examination (Patents Form 10/77) 0  
NO

Any other documents (please specify)

11. I/We request the grant of a patent on the basis of this application.

For the applicant

Gill Jennings & Every

Signature

*Gill Jennings & Every*

Date 26/11/03

12. Name, daytime telephone number and e-mail address, if any, of person to contact in the United Kingdom

FINNIE, Peter John

020 7377 1377

### Warning

After an application for a patent has been filed, the Comptroller of the Patent Office will consider whether publication or communication of the invention should be prohibited or restricted under Section 22 of the Patents Act 1977. You will be informed if it is necessary to prohibit or restrict your invention in this way. Furthermore, if you live in the United Kingdom, Section 23 of the Patents Act 1977 stops you from applying for a patent abroad without first getting written permission from the Patent Office unless an application has been filed at least 6 weeks beforehand in the United Kingdom for a patent for the same invention and either no direction prohibiting publication or communication has been given, or any such direction has been revoked.

### Notes

- If you need help to fill in this form or you have any questions, please contact the Patent Office on 08459 500505.
- Write your answers in capital letters using black ink or you may type them.
- If there is not enough space for all the relevant details on any part of this form, please continue on a separate sheet of paper and write "see continuation sheet" in the relevant part(s). Any continuation sheet should be attached to this form.
- If you have answered YES in part 8, a Patents Form 7/77 will need to be filed.
- Once you have filled in the form you must remember to sign and date it.
- Part 7 should only be completed when a divisional application is being made under section 15(4), or when an application is being made under section 8(3), 12(6) or 37(4) following an entitlement dispute. By completing part 7 you are requesting that this application takes the same filing date as an earlier UK application. If you want the new application to have the same priority date(s) as the earlier UK application, you should also complete part 6 with the priority details.

## METHOD AND APPARATUS FOR PRODUCING CHIRPED RZ-DPSK MODULATED OPTICAL SIGNALS

### Field of the Invention

5 The present invention relates to a method and transmitter for generating a return to zero differentially phase shift key modulated optical signal.

### Background to the Invention

10 RZ-DPSK is commonly used in long haul transmission. Typically, a transmitter for generating an RZ-DPSK signal consists of a phase shift keyed (PSK) modulation part and an RZ pulse carving part. In fact, all methods to date require at least two separate modulators in this way, one to phase modulate the signal and one to carve the RZ pulses. This is shown in Figure 1.

15 In all methods, the source data must first be differentially encoded, prior to optical modulation. This is typically achieved using a high speed exclusive OR gate with the output tapped and fed back by a one bit delay to the input. This encoding is required because the receiver side demodulator relies on a one bit optical delay for phase comparisons.

20 To convert this to a modulated optical signal, laser light is phase modulated using a phase modulator or a chirp free Mach Zehnder intensity modulator. The phase modulator approach obeys analogue behaviour with respect to the drive voltage. Hence, any discrepancy in the electrical signal passes on directly to the optical signal as fluctuations in the phase of the light. The Mach Zehnder approach removes these phase fluctuations by chirp free  
25 operation and relies on the fact that the light changes phase by  $180^\circ$  when driving through the minimum throughput bias point. In this way, exact  $180^\circ$  phase encoding can be achieved at the expense of additional intensity modulation. The inherent intensity modulation is removed by gating with an RZ pulse carver stage to form RZ-DPSK signals.

Each bit is intensity modulated to produce a repetitive stream of RZ pulses. The RZ intensity modulation is usually provided by a sine wave driven Mach Zehnder modulator. A Mach Zehnder modulator can be driven in several ways, typically with either a full rate clock driver at the quadrature bias point to  
5 give 50% duty cycle pulses or with a half rate clock driver at the maxima or minima bias points to give 33% or 66% duty cycles respectively. Figure 1 shows a standard 33% or 66% RZ-DPSK transmitter configuration in accordance with the prior art.

As mentioned above, in the systems of the prior art phase and intensity  
10 fluctuations result from the driver output signal quality, and also the driver to modulator interface. Standard NRZ drivers can be particularly noisy due to inter symbol interference (ISI) generated from the broadband driver response.

### Summary of the Invention

15 According to a first aspect of the present invention, an optical transmitter comprises:

a differential encoder having first and second outputs, the first and second outputs being of opposite polarity to one another,

a first RZ converter connected to the first output of the differential  
20 encoder and a second RZ converter connected to the second output of the differential encoder; and

a dual electrode Mach Zehnder modulator to which an unmodulated coherent light source is coupled, wherein the output of the first RZ converter is connected to a first electrode of the Mach Zehnder modulator and the output of  
25 the second RZ converter is connected to a second electrode of the Mach Zehnder modulator.

Preferably, the transmitter further includes inverting RZ drivers to convert RZ signals output from the RZ converters to inverted RZ signals. Inverted RZ drivers typically have a better output quality than non-inverted RZ drivers.



Preferably, one of the RZ converter outputs can be delayed by adjusting the phase of a clock signal input to the RZ converter, to synchronise the two RZ signals.

According to a second aspect of the present invention, a method of  
5 encoding data as a differential phase shift keyed RZ optical signal comprises the steps of:

differentially encoding the data to produce two data streams of opposite polarity;

converting each data stream to RZ signal format; and

10 driving a first electrode of a dual electrode Mach Zehnder modulator to which an unmodulated coherent light source is coupled with a first one of the RZ data streams and driving a second electrode of the dual electrode Mach Zehnder modulator with a second one of the RZ data streams.

Preferably, the RZ data streams are inverted RZ data streams.

15 The present invention provides improved signal integrity as compared with existing RZ-DPSK solutions through the use of high quality RZ drivers.

Furthermore, the present invention gives rise to controllable RZ pulse edge chirping, providing rapid pulse compression or broadening through a dispersive fibre length. This typically mitigates pulse distortion in non-linear transmission  
20 links.

The present invention requires the use of only a single Mach Zehnder modulator. All prior RZ-DPSK transmitters require two modulators in series. Therefore the present invention provides benefits in terms of cost, size and power consumption.

25 With the method and system of the present invention, the RZ duty cycle or pulse width can be controlled by the electrical drive signal. By contrast, prior transmitter schemes having only a fixed or limited pulse width control.

### Brief Description of the Drawings

30 An example of the present invention will now be described with reference to the accompanying drawings, in which:

Figure 1 shows an RZ-DPSK encoded transmitter in accordance with the prior art;

Figure 2 shows an RZ-DPSK encoded transmitter in accordance with the present invention; and

5 Figure 3 shows plots of the output intensity, phase and chirp for a transmitter in accordance with the present invention.

### Detailed Description

Figure 1 shows an RZ-DPSK encoded transmitter in accordance with the prior art. Electrical input data is differentially encoded by differential encoder 10. The differential encoder comprises an exclusive OR gate with the output ~~delayed by one bit and fed back to the input.~~ The differentially encoded data is used to phase modulate a coherent light signal from a coherent light source 12.

The modulator shown in Figure 1 is a Mach Zehnder (MZ) modulator 11, which is chirp-free. The MZ modulator is driven by an NRZ modulator driver 13. The output from the MZ modulator 11 is a phase encoded optical signal. This is converted to an RZ signal by the use of a second MZ modulator 14. The second MZ modulator is used as an RZ pulse carver and is driven by a narrow band modulator driver 15. The driver 15 as shown is driven by a half rate clock at the minima bias point to give a 66% duty cycle.

The limitations of this type of transmitter are that phase and intensity fluctuations in the optical signal result from the driver output signal quality and from the driver/modulator interface. Standard NRZ drivers can be particularly noisy due to ISI generated from the broad band driver response. Furthermore, the transmitter requires two separate modulators.

Electrical RZ transmitters are now available and they are replacing old style optical RZ gated transmitters in current systems. These typically show better performance than NRZ transmitters owing to the extinction ratio achieved. The RZ drive signal is better than its NRZ counterpart in two ways:

- 30 1. The input data is re-timed and re-shaped at the RZ conversion stage, and

2. RZ drivers are internally biased to compress one of the logic levels, reducing the noise.

Figure 2 shows a DPSK transmitter in accordance with the present invention. The transmitter shown in Figure 2 shows a differential encoder 20 which encodes an electrical data stream in the same manner as the prior transmitter described with reference to Figure 1. The differential encoder of Figure 2 has two outputs. A suitable differential encoder is available from Inphi and is their 13751 DE 13 Gbps differential encoder. Each output is differentially encoded data but they are of opposite polarity to one another. Each output enters an RZ converter 21,22 driven by a clock 23,24. Suitable RZ converters are also available from Inphi, e.g. their 13707 RZ product. The RZ converters output RZ converted differentially encoded data. This data is applied to opposite electrodes of a dual electrode Mach Zehnder (MZ) modulator 25 coupled to a coherent light source, by RZ drivers 26,27. A suitable MZ modulator is available from Sumitomo Osaka Cement Co. Ltd. and is their 10 Gbit/s Dual Electrode Intensity Modulator. The RZ signals are amplified by the RZ drivers. The RZ drivers are shown as inverting RZ drivers 26,27 as these give rise to better quality output than non-inverting RZ drivers. However, non-inverting RZ drivers could be used. Inverting RZ drivers are available from LA Techniques, e.g. their LA32-04-04 driver product.

The modulator should be biased such that light from the two arms of the MZ in antiphase gives rise to a maximum optical throughput. Continuous RZ optical pulses can be produced by changing the relative phase between the two arms from in phase (no light) to antiphase (maximum light). The light is either 'pushed' out of phase by driving one arm or 'pulled' out of phase by driving the other. The phase of each RZ pulse depends on whether the light is being pushed or pulled, hence phase encoded pulses (PSK) can be produced.

One of the RZ converter outputs can be delayed by adjusting the phase delay 28 of the clock signal into it providing a method of synchronizing the two drive signals.



The use of inverting RZ drivers gives rise to negative chirp on the optical RZ signals. Non-inverting RZ drivers give rise to positive chirp. Controlling chirp through the use of inverting or non-inverting drivers is useful for pulse compression or pulse broadening in positive and negative dispersion fibres.

- 5 Figure 3 shows the transmitter output using inverting RZ drivers. The top plot shows the intensity of the output, the middle plot shows the phase and the bottom plot shows the chirp. It can be seen that the inverting RZ drivers give rise to negative chirp, i.e. the leading edge of each pulse has reduced frequency and the trailing edge has increased frequency.

- 10 The optical RZ pulse width can be continuously controlled by adjusting the electrical duty cycle of the RZ drive signal. Conventional RZ DPSK transmitters have a fixed pulse width.

## Claims

1. An optical transmitter comprising:
  - a differential encoder having first and second outputs, the first and
  - 5 second outputs being of opposite polarity to one another,
  - a first RZ converter connected to the first output of the differential encoder and a second RZ converter connected to the second output of the differential encoder; and
  - a dual electrode Mach Zehnder modulator to which an unmodulated
  - 10 coherent light source is coupled, wherein the output of the first RZ converter is connected to a first electrode of the Mach Zehnder modulator and the output of
  - ~~the second RZ converter is connected to a second electrode of the Mach~~
  - Zehnder modulator.
15. 2. A transmitter according to claim 1, further including inverting RZ drivers
- ~~to convert RZ signals output from the RZ converters to inverted RZ signals.~~
3. A transmitter according to claim 1 or 2, wherein one of the RZ converter
- 20 outputs can be delayed by adjusting the phase of a clock signal input to the RZ
- converter.
4. A method of encoding data as a differential phase shift keyed RZ optical
- signal comprising the steps of:
  - ~~differentially encoding the data to produce two data streams of opposite~~
  - 25 polarity;
  - converting each data stream to RZ signal format; and
  - driving a first electrode of a dual electrode Mach Zehnder modulator to
  - which an unmodulated coherent light source is coupled with a first of the two
  - data streams and driving a second electrode of the dual electrode Mach
  - 30 Zehnder modulator with a second of the two data streams.

- 
5. A method according to claim 4, wherein the RZ data streams are inverted RZ data streams.
-

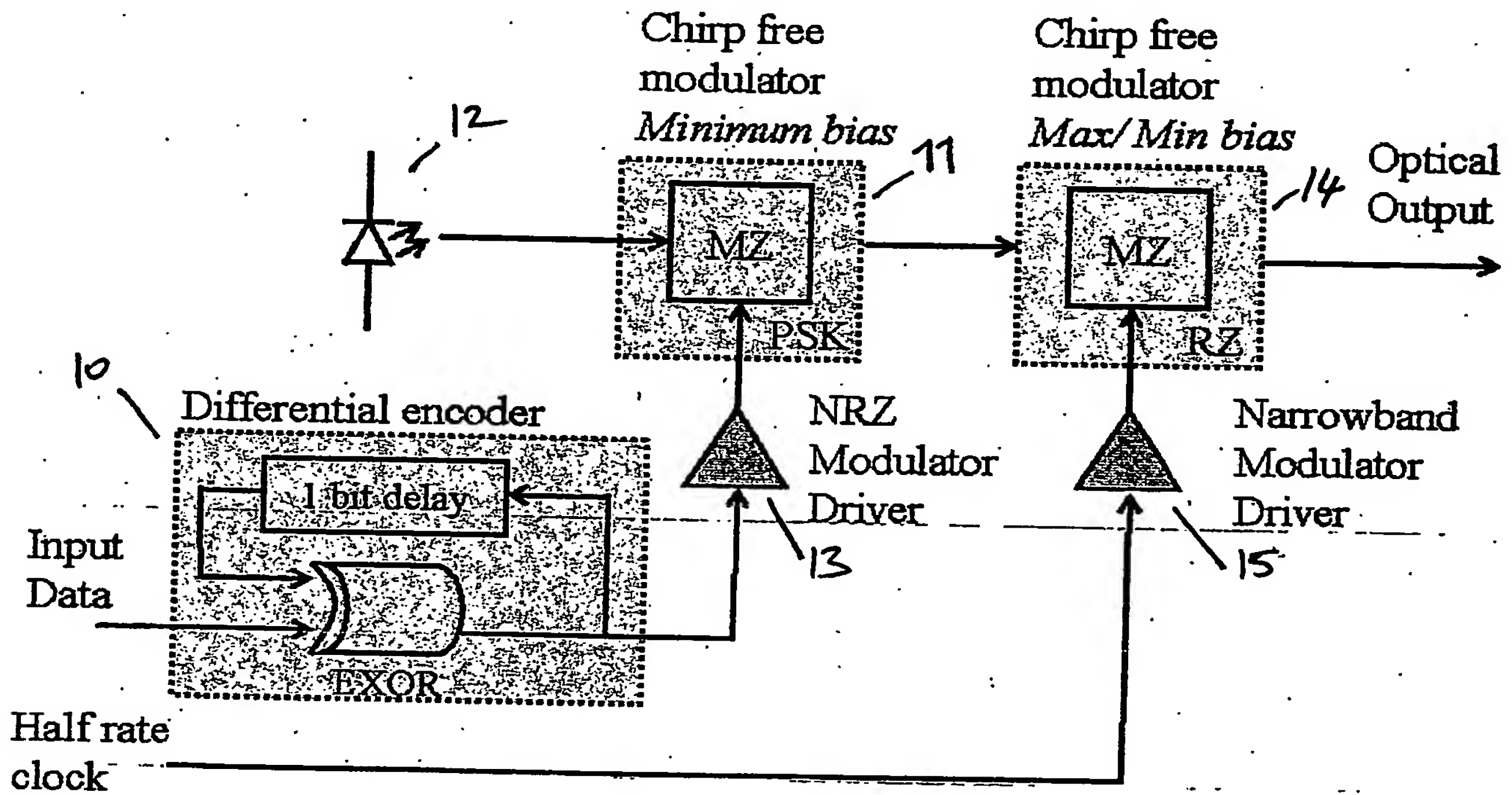


Fig. 1.

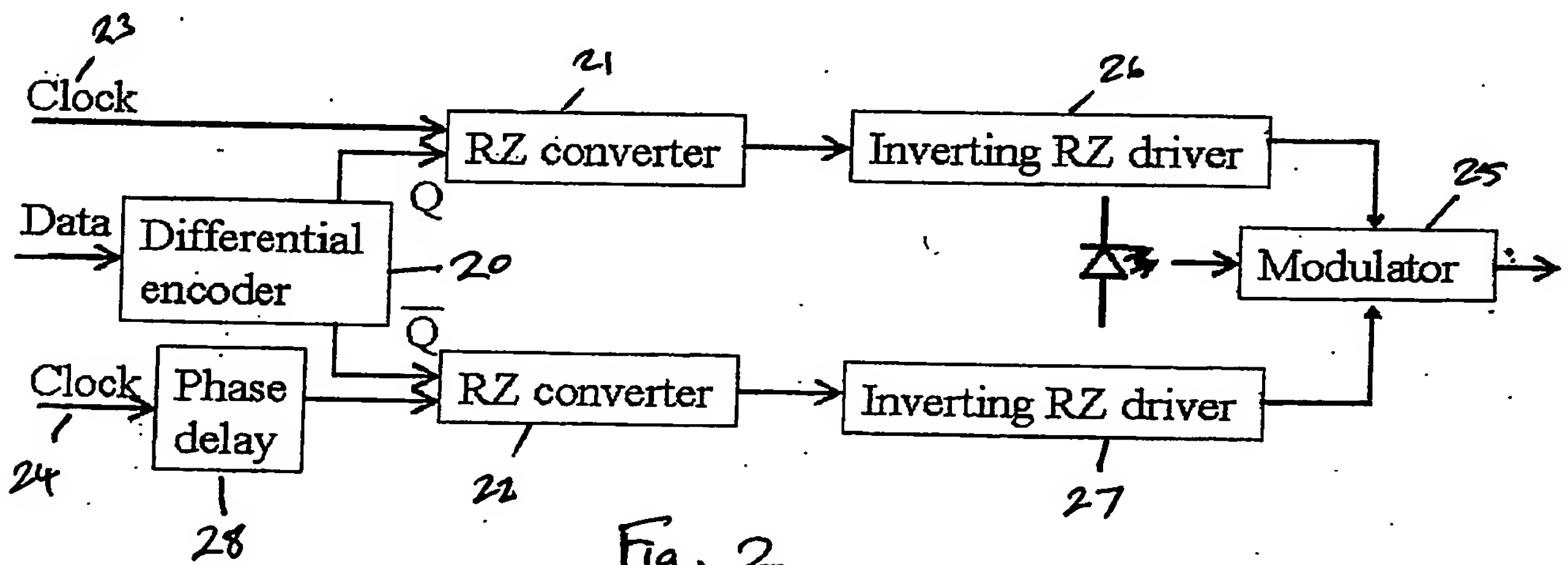


Fig. 2

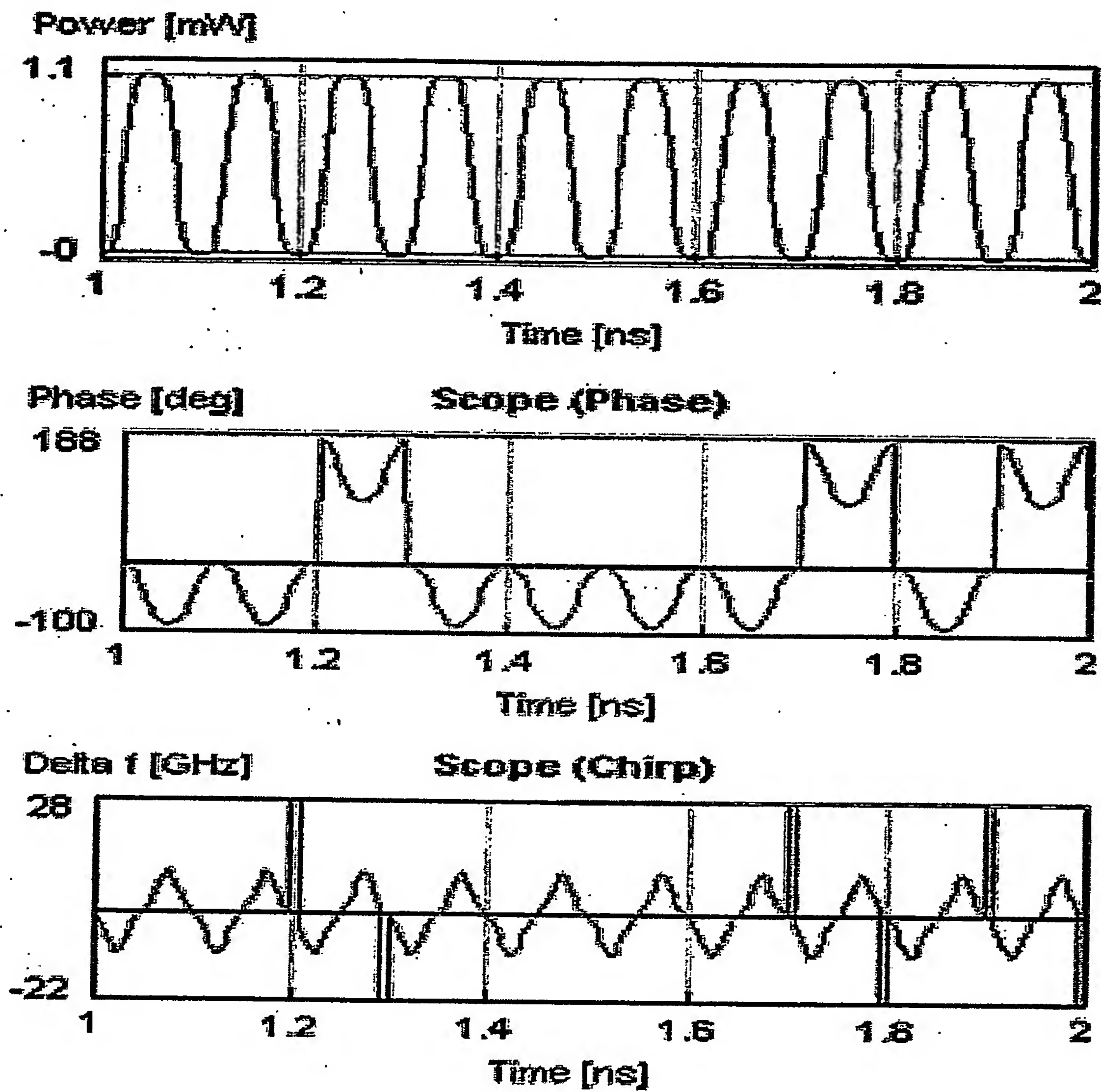


Fig. 3.



**This Page is Inserted by IFW Indexing and Scanning Operations and is not part of the Official Record.**

## **BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ **BLACK BORDERS**
- ☐ **IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- ☐ **FADED TEXT OR DRAWING**
- ☐ **BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- ☐ **SKEWED/SLANTED IMAGES**
- ☐ **COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- ☐ **GRAY SCALE DOCUMENTS**
- ☐ **LINES OR MARKS ON ORIGINAL DOCUMENT**
- ☐ **REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- ☐ **OTHER:** \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.**